UNITED
NATIONS

E

Economic and Social
Council

Distr.
GENERAL

E/CN.15/1996/22
22 April 1996

ORIGINAL: ENGLISH

COMMISSION ON CRIME PREVENTION
AND CRIMINAL JUSTICE
Fifth session
Vienna, 21-31 May 1996
Item 9 of the provisional agenda*

PLAN FOR STRATEGIC MANAGEMENT

Strategic management of the United Nations crime prevention and criminal justice programme

Report of the Secretary-General

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*E/CN.15/1996/1.

V.96-82639T

INTRODUCTION

1. The question of the strategic management of the United Nations crime prevention and criminal justic e programme has preoccupied the Commission on Crime Prevention and Criminal Justice since its inception. While most United Nations entities develop and implement strategies to achieve their programme objectives, th e Commission appears to be the only entity to invoke the concept of "strategic management". The ongoing discussion has focused on the general principle as well as specific aspects of strategic management. Most recently, th e Commission adopted resolution 4/3, on the provision of information in accordance with the plan for strategi c management, elaborated in Commission resolution 1/1, annex. Moreover, the General Assembly adopted resolutions 50/146 and 50/214, containing specific provisions on strategic management, as described in paragraphs 15 and 16 below.

2. As part of the effort to meet these requests for information, services and reports, the present report is intended as a contribution to the ongoing discussion on the strategic management of the programme and the implementation of the relevant resolutions. The report provides information on the parameters and current practice of strategi c management, identifies issues that need to be dealt with and offers preliminary proposals for action by th e Commission.

3. An outline of the present report was discussed with the members of the bureau of the Commission; it was also sent for comment to the institutes comprising the United Nations crime prevention and criminal justice programme network.

I. PARAMETERS OF STRATEGIC MANAGEMENT

A. Legislative basis

1. General Assembly resolution 46/152

4. In its resolution 46/152 and the statement of principles and programme of action of the United Nations crime prevention and criminal justice programme contained in the annex to that resolution, the General Assembly set out the principal purposes of the programme and the entities c harged with its implementation. The programme of action specified, *inter alia*, the functions of the Commission, as well as those of the secretariat of the programme.

5. The functions of the Commission should be as follows (Gene ral Assembly resolution 46/152, annex, para. 26):

(a) To provide policy guidance to the United Nations in the field of crime prevention and criminal justice;

(b) To develop, monitor and review the implementation of the programme on the basis of a system o f medium-term planning in accordance with the priority principles contained in paragraph 21 of the programme o f action;

(c) To facilitate and help to coordinate the activities of the United Nations institutes for the prevention of crime and the treatment of offenders;

(d) To mobilize the support of the Member States for the programme;

(e) To prepare for the United Nations congresses on the prevention of crime and the treatment of offenders and to consider suggestions regarding possible subjects for the programme of work as submitted by the congresses.

6. According to the programme of action, the secretariat of the programme should (General Assembly resolution 46/152, annex, para. 31):

(a) Mobilize existing resources, including institutes, intergovernmental and non-governmental organizations and other competent authorities for the implementation of the programme;

(b) Coordinate research, training and the collection of data on crime and justice, and provide technical assistance and practical information for Member States, particularly through the United Nations Crime and Justice Information Network (UNCJIN);*

(c) Assist the Commission in the organization of its work and in the preparations, in accordance with the directions of the Commission, for the congresses and any other events relating to the programme;

(d) Ensure that the potential donors of criminal justice assistance are put in touch with countries needing the help in question;

(e) Make the case for assistance in the field of criminal justice to appropriate funding agencies.

2. Resolution 1/1 of the Commission on Crime Prevention and Criminal Justice

7. In its resolution 1/1, the Commission asserted its role as the principal policy-making body in the field of crime prevention and criminal justice, with responsibility for coordinating all relevant activities in that field. In addition, it decided that, in determining the priorities and supervision of the programme, it should follow the directives contained in paragraphs 21 and 22 of the statement of principles and programme of action, as further elaborated in the annex to its resolution 1/1.

8. In the annex to its resolution 1/1, the Commission expressed its concern about the heavy responsibility placed on it and the inadequacy of the resources available to meet the existing needs. Suggestions were provided on how the principles of strategic management could be incorporated in the work of the Commission.

9. The Commission noted that strategic management of the programme would require agreement on the following (Commission resolution 1/1, annex, para. 10):

(a) The general goals of the programme, with regard to both programme development and implementation;

(b) The needs to be met;

(c) The capacity available to meet those needs;

(d) The objectives for programme development;

(e) The specific activities to be carried out to promote the achievement of those objectives;

(f) The mechanisms to be used in determining the objectives and the specific activities;

(g) Measures for promoting programme implementation;

(h) Measures for evaluating programme accomplishments.

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*Formerly called the Global Crime and Criminal Justice Information Network.

10. As management tools, the Commission envisaged medium- and short-term action plans of six and two years' duration, respectively, for the purpose of translating general goals into specific objectives within the priority areas of the programme. The action plans would correspond to the cycles of the medium-term plan and the programme budget of the United Nations (Commission resolution 1/1, annex, para. 21).

11. A limited number of objectives would be included in the work programme at any one time. They would b e selected on the basis of proposals setting out the background of the issue, what was being done by other bodies, what the objective was and what was requested by the Secretary-General. Ideally, the proposals would include activities for their promotion, which would be decided upon by the Commission in close cooperation with the Secretariat and the institutes. Specific activities would be included in the work programme when the Commission was satisfied that they were adequately identified in terms of why, what, when, who and with what resources, with indicators permitting an assessment of success or failure, and appropriate follow-up activities (Commission resolution 1/1, annex, paras. 40-42).

3. Resolution 4/3 of the Commission on Crime Prevention and Criminal Justice

12. In its resolution 4/3, the Commission recalled the plan for strategic management, annexed to its resolution 1/1, for determining the priorities and supervision of the programme. In addition, the Commission expressed its belief that the provision of certain information on proposed activities would assist it and Member States in implementing its resolution 1/1. Furthermore, the Commission decided that the type of information set out in the annex to it s resolution 4/3 would be useful in its consideration of draft resolutions on proposed activities.

13. In the annex to its resolution 4/3, the Commission noted that the statement of information should contain, to the extent possible, the following information:

(a) The proposed activity and its scope, including a clear delineation of the specific tasks to be carried out;

(b) A proposed timetable for carrying out the proposed activity;

(c) Identification of the United Nations or other body that could carry out the activity or any portion of it;

(d) A description of the extent to which the proposed activity had already been carried out by any Unite d Nations or other body;

(e) Identification of resources available to any United Nations body to carry out the proposed activity;

(f) Where applicable, identification of any potential commitment of regular and extrabudgetary resources for the proposed activity made by the United Nations and any entity other than the United Nations;

(g) The outcome anticipated by the undertaking of the activity.

14. In its resolution 4/3, the Commission specified that the Secretariat could be requested to assist Member States in providing the above-mentioned information. In the same resolution, the Commission decided that, commencing with its fifth session, a standing item should be included in its agenda so that it might review the extent to which activities had been successfully implemented in accordance with its resolution 1/1 and the information provided in accordance with the annex to its resolution 4/3.

4. Recent General Assembly resolutions

15. The General Assembly, in its resolution 50/146, requested the Sec retary-General to take all necessary measures to provide improved services to the Commission with a view to ensuring full implementation of the relevan t

Commission resolutions on the strategic management of the programme in the context of United Nations rules and regulations. In the same resolution, the Assembly reaffirmed the importance of rule 28 of the rules of procedure of the functional commissions of the Economic and Social Council and urged the Secretary-General to provide th e appropriate information to the Commission. Also in its resolution 50/146, the General Assembly requested th e Secretary-General to submit to it at its fifty-first session a report on the implementation of that resolution.

16. In its resolution 50/214, the General Assembly requested the Secretary-General to report on the status o f implementation of the strategic management plan as adopted by the Commiss ion in its resolution 1/1, including those activities that had achieved demonstrable results in combating international crime, assisting international la w enforcement or otherwise meeting current mandates of the U nited Nations congresses on the prevention of crime and the treatment of offenders and the Commission. In the same resolution, the General Assembly also requested the Secretary-General to review the adequacy of resources made available for crime prevention activities at the regional level and to report thereon to the Assembly at its fifty-first session.

B. The United Nations crime prevention and criminal justice programme and its mechanisms

1. Goals and framework for implementation

17. According to the statement of princ iples and programme of action of the United Nations crime prevention and criminal justice programme, the programme should assist the international community in meeting its pressing needs in the field of crime prevention and criminal justice and sho uld provide countries with timely and practical assistance in dealing with problems of both national and transnati onal crime. Furthermore, the general goals of the programme should be to contribute to the following: the pr evention of crime within and among States; the control of crime both nationally and internationally; the strengthening of regional and international cooperation in crime prevention , criminal justice and the combating of transnational crime ; the integration and consolidation of the efforts of Member States in preventing and combating transnational crime; more efficient and effective administration of justice, with due respect for the human rights of all those affected by crime and all those involved in the criminal justice system; and the promotion of the highest standards of fairness, humanity, justice and professional conduct (Genera l Assembly resolution 46/152, annex, paras. 15-16).

18. As for the scope of the programme, the programme should include appropriate forms of cooperation for the purpose of assisting States in dealing with problems of both national and transnational crime. In particular, th e programme may include (General Assembly resolution 46/152, annex, para. 17):

(a) Research and studies at the national, regional and global levels on specific prevention issues and criminal justice measures;

(b) Regular international surveys to assess trends in crime and developments in the operation of crimina l justice systems and in crime prevention strategies;

(c) Exchange and dissemination of information among States on crime prevention and criminal justice , particularly with regard to innovative measures and the results achieved in their application;

(d) Training and upgrading of the skills of personnel working in the various areas of crime prevention and criminal justice;

(e) Technical assistance, including advi sory services, particularly in respect of the planning, implementation and evaluation of crime prevention and criminal justice programmes, training and the use of modern communication and information techniques; such assistance may be implemented by me ans of, for example, fellowships, study tours, consultancies, secondments, courses, seminars and demonstration and pilot projects.

19. The United Nations should directly carry out the above-mentioned forms of cooperation or should act as a coordinating or facilitating agent, avoiding any duplication (General Assembly resolution 46/152, annex, para. 18). Furthermore, in developing the programme, areas of priority should be determined in response to the needs and concerns of Member States, taking into consideration specific principles (General Assembly resolution 46/152, annex, para. 21).

20. The Economic and Social Council, in its resolution 1992/22, section VI, determined that the following priority themes should guide the work of the Commission in the development of a detailed programme and the budget allocations for the period 1992-1996:

(a) National and transnational crime, organized crime, economic crime, including money-laundering, and the role of criminal law in the protection of the environment;

(b) Crime prevention in urban areas, juvenile and violent criminality;

(c) Efficiency, fairness and improvement in the management and administration of criminal justice and related systems, with due emphasis on the strengthening of national capacities in developing countries for the regular collection, collation, analysis and utilization of data in the development and implementation of appropriate policies.

21. In the same section of that resolution, the Council specified the objectives of the above-mentioned priority areas, indicating a strong preference for operational activities and for concentrating programme resources on the provision of training, advisory services and technical cooperation.

2. Mechanisms and means

22. United Nations activities in crime prevention and criminal justice are carried out through a number of mechanisms. According to the statement of principles and programme of action (General Assembly resolution 46/52, annex, para. 14), the programme should bring together the work of the Commission, the United Nations institutes for the prevention of crime and the treatment of offenders, the network of government-appointed national correspondents in the field of crime prevention and criminal justice, UNCJIN and the United Nations congresses on the prevention of crime and the treatment of offenders. In its resolution 46/152, the General Assembly urged all entities of the United Nations system, including the regional commissions, the United Nations institutes for the prevention of crime and the treatment of offenders, the specialized agencies and the relevant intergovernmental and non-governmental organizations, to assist the programme in fulfilling its tasks. These entities contribute to the programme with some or all of their resources. Their roles, means and relationships to each other are briefly described below.

(a) Commission on Crime Prevention and Criminal Justice

23. The role of the Commission is described above. The substantive servicing of its sessions is part of the work programme of the Crime Prevention and Criminal Justice Division* of the Secretariat. The technical servicing, previously provided by the Division for Policy Coordination and Economic and Social Council Affairs of the Secretariat in New York, will be provided by the Secretariat at Vienna starting with the fifth session of the Commission. Resources for conference services and travel of its members are provided under the regular budget of the United Nations, following established practices of other functional commissions.

(b) United Nations congresses on the prevention of crime and the treatment of offenders

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*Pursuant to General Assembly resolution 50/214, the Crime Prevention and Criminal Justice Branch was upgraded to a division on 1 January 1996. For convenience, it is referred to throughout the present document as the Division.

24. The United Nations congresses on the prevention of crime and the treatment of offenders have been convened every five years since 1955. According to the statement of principles and programme of action (General Assembly resolution 46/152, annex, para. 29), as a consultative body of the programme, they provide a forum for: the exchange of views; the identification of emerging trends and issues; the provision of advice and comments to the Commission; and the submission of suggestions, for the consideration of the Commission, on possible subjects for the programme of work. The resources for the congresses are provided under the regular budget of the United Nations, in terms of both technical and substantive services. In addition, voluntary contributions are made by Member States.

(c) Secretariat

25. The secretariat of the programme consists of the staff that the Secretary-General has assigned on a full-time basis to the Crime Prevention and Criminal Justice Division. In addition, United Nations staff providing technical, conference, administrative and public information services contribute to the implementation of the programme on a part-time basis.

26. According to the statement of principles and programme of action (General Assembly resolution 46/152, annex, para. 31), the secretariat of the programme is the permanent body responsible for facilitating the implementation of the programme and for assisting the Commission in conducting evaluations of the progress made and analyses of the difficulties encountered. For that purpose, the secretariat is mandated to carry out the functions specified in paragraph 6 above. The specific activities of the programme for the biennium 1996-1997 are described under section 13 of the programme budget for the biennium 1996-1997 (see also paragraphs 68-72 below).

27. The approved staffing table of the Crime Prevention and Criminal Justice Division consists of 16 Professional and 6 General Service posts. Two of the Professional posts are new and cannot be filled until 1997 because of cost-saving measures established to implement General Assembly resolution 50/215; two other posts have been filled on a temporary basis and one post is vacant. The programme also has at its disposal the services of two interregional advisers provided under section 20 of the regular programme budget.

28. The vast majority of financial resources of the Division are provided under section 13 of the programme budget; those resources amount to 5.3 million United States dollars for the biennium 1996-1997. Recently, 5.2 per cent of those resources were earmarked for cost-saving in accordance with General Assembly resolution 50/215, which affects all programmes financed under the regular budget in equal measure.

29. Section 20 of the regular budget includes an appropriation of US$ 1.0 million for advisory services and technical cooperation in the field of crime prevention and criminal justice. In addition to the posts of the two interregional advisers, those resources cover a limited number of fellowships and operational activities in developing countries, such as training.

30. The Division also has at its disposal voluntary funds provided to the United Nations Crime Prevention and Criminal Justice Fund by several Governments and non-governmental organizations, amounting to approximately US$ 500,000 in 1996. About 60 per cent of those funds are provided by a single Member State, namely Italy. Pursuant to a standing arrangement with the Government of Italy, 50 per cent of its annual contribution is used to support the activities of the International Scientific and Professional Advisory Council. The remaining voluntary contributions are used for the development and execution of operational activities.

31. Several Member States have provided the Division with in-kind contributions by seconding associate experts or consultants for varying periods of time. There are currently six associate experts (one from Germany, two from Italy, one from Japan, one from the Republic of Korea and one from Sweden) and two consultants (from Austria and France) assigned to the Division.

(d) Institutes comprising the United Nations crime prevention and criminal justice programme network

32. A number of institutes contribute to the programme through research, training and the collection and dissemination of information. The group of institutes, collectively referred to as the United Nations crime prevention and criminal justice programme network, includes the United Nations Interregional Crime and Justice Research Institute, the affiliated regional institutes and associated institutes and centres based in various parts of the world.

33. The institutes in the programme network, *inter alia*, promote United Nations recommendations and policies, assist Governments in the implementation of United Nations standards and instruments, provide advisory opinions on policy matters, organize training courses, conduct research, organize regional seminars and facilitate cooperation between States in their regions and the United Nations in the field of crime prevention and criminal justice.*

34. In general, the institutes are not financed by the regular budget of the United Nations, but rather by voluntary contributions from their host countries or other Member States. All of the institutes are operating under financial constraints due to reduced resource bases and/or an uncertain financial situation. In the case of the African Institute for the Prevention of Crime and the Treatment of Offenders, although its financial difficulties have always been serious, they have now reached a critical level. In addition to the support provided to it by the United Nations Development Programme (UNDP) up to and including 1995, the African Institute has received from the United Nations a total of US$ 910,000 since 1990, including regular budget resources amounting to about US$ 200,000 under section 15 of the programme budget for the biennium 1996-1997.

35. While the activities of the institutes on the whole are in line with the priority themes identified by the Commission, donor preferences and resource uncertainties tend to have an effect on programme content. Coordination of their activities with those of the programme is difficult because of the competing priorities of the institutes. Other limiting factors are inherent in the shortage of staff resources of the Division, which renders it unable to do justice to all its mandated tasks, coupled with the geographical dispersion of the institutes. The Division is conscious of the need to be more involved in the planning phase of the work programmes of the institutes if its role as coordinator is to be meaningful and if the institutes' affiliation or association with the United Nations is to be more substantive than formal in nature. The annual joint programme coordination meetings of the programme network and other forms of contact serve to harmonize activities and promote joint initiatives.

(e) Other United Nations entities

36. The programme is being implemented with the cooperation of several other United Nations entities, in particular the Department for Development Support and Management Services of the Secretariat, the Centre for Human Rights of the Secretariat, the United Nations International Drug Control Programme (UNDCP) and, to a more limited extent, UNDP.

37. Strengthened cooperation and coordination of activities in the field of crime prevention and criminal justice have been called for repeatedly by the Economic and Social Council, as well as the General Assembly, since the restructuring of the programme and the establishment of the Commission. The Commission has considered several reports on the topic, the most recent of which will be before it at its fifth session (E/CN.15/1996/20). Those reports have documented in detail the continuous growth in scope and quality of collaboration with other United Nations entities. Unfortunately, no information is available on the resources that those entities have devoted to activities related to crime prevention and criminal justice. A report of the Administrative Committee on Coordination on programmes and resources of the United Nations system for the biennium 1992-1993 (E/1993/84) showed only United Nations expenditure in that area.

38. The increasingly close collaboration of the Division with UNDCP, as described in the report of the Secretary-General (E/CN.15/1996/20), raises the question of the need for cooperation between the Commission on Crime

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*For more details, see the report of the Secretary-General on the activities of the institutes comprising the United Nations crime prevention and criminal justice programme network (E/CN.15/1996/21 and Corr.1).

Prevention and Criminal Justice and the Commission on Narcotic Drugs. It may be time to explore the manner in which such cooperation could be achieved in practic al terms, such as by holding joint inter-sessional meetings of the bureaux of the two commissions to avoid duplication and contradiction in their efforts.

39. The General Assembly and the Economic and Social Council provide policy direction at the highest levels. The General Assembly determines overall policy regarding the direction and substance of the programme, as well as the availability of resources, and monitors programme implementation. It does so through resolutions, medium-term plans, biennial programme budgets and programme performance reports.

40. The Economic and Social Council considers the reports of th e Commission, including any draft resolutions that the Commission has recommended to it for adopti on. In addition, the Economic and Social Council invites Member States to appoint one or more representatives who are experts in the field to act as national correspondents in crime prevention and criminal justice matters.

41. It is neither possible nor meaningful to determine the level of the financial resources required or consumed for the legislative functions related to the programme as they are an integral part of the overall functions of those bodies. It should be noted, however, that the Division devotes some of its staff resources to servicing the legislative bodies, mainly in complying with reporting obligations.

(f) United Nations Crime and Justice Information Network

42. The goals of UNCJIN are to provide the most comprehensive collection of electronic information on crim e prevention and criminal justice and to supply users with logical gateways to other material. UNCJIN was run by the State University of New York at Albany and funded through grants provided by the United States of America until early 1995, when its servicing functions were moved to the Division. It is currently being operated with th e assistance of the University of Vienna. UNCJIN also offers access to the World Criminal Justice Library Network at Rutgers University in New Jersey.

(g) Government-appointed national correspondents

43. The United Nations network of government-appointed national correspondents has been in existence sinc e 1951, when the Economic and Social Council, in its resolution 357 (XII), invited Member States to appoint one or more representatives of expert qualifications or experience in the field of the prevention of crime and the treatment of offenders.

44. The envisaged role of the national correspondents may be described as facilitating contact with the Secretariat on matters relating to legal, scientific and technic al cooperation, training, national laws and regulations, legal policy, the organization of the criminal justice system, crime prevention measures and penitentiary matters. The national correspondents promote the implementation of the United Nations programme of work and represents an important element in the Organization's success in achieving a consensus and promoting cooperation at the regional, interregional and international levels on questions of criminal policy.

45. Their performance and contribution vary and are limited by a lack of seed money to facilitate their activities, which they carry out on a voluntary basis. Proposals for holding regular meetings of the correspondents have been rejected for lack of means. As a result of the restructuring of the programme and the concomitant greater direc t involvement of Governments in its direction, the status of the national corres pondents has changed. The Commission may wish to consider recommending their replacement with national focal points as an alternative interfac e mechanism between the programme and Governments.

(h) Intergovernmental organizations

46. A large number of intergovernmental organizations are involved in matters of crime prevention and criminal justice. These include the Organisation for Economic Co-operation and Development , the European Community, the Organization for Security and Cooperation in Europe, the Commonwealth Secretariat, the Council of Europe, the Agence de la francophonie, the International Criminal Police Organization (ICPO/Interpol), the Conférenc e internationale des barreaux de tradition commune and the Financial Action Task Force established by the heads of State or Government of the Group of Seven major industrialized countries and the President of the Europea n Commission. The contact and involvement of the Division with those organizations have been described in reports to the Commission, the latest of which will be before the Commission at its fifth session (E/CN.15/1996/20).

(i) Non-governmental organizations and the International Scientific and Professional Advisory Council

47. Non-governmental organizations contribute to the programme by exchanging and disseminating information; participating in expert meetings, training courses and seminars; developi ng working materials and other publications; and stimulating and reinforcing efforts for the improvement of crime prevention and criminal justice policies and services. Some non-governmental organizations have also taken steps to initiate recommendations and cooperate with the programme by providing substantive contributions.

48. An indicator of the ever-increasing involvement of non-governmental organizations in the field is the level of their participation in the United Nations congresses, which has multiplied over the years. Information on thei r resources is not available. Surveys carried out by the Division in 1 992 (E/CN.15/1993/2 and E/CN.15/1993/CRP.3) and by the International Scientific and Professional Advisory Council in 1993 to ascertain the concerns, activities and resource base of organizations active in this field have not yielded adequate information on this aspect. It i s known, however, that most of them raise their own funds and rely heavily on volunteer work.

49. The International Scientific and Professional Advisory Council has a special role and relationship with th e United Nations. It serves as a focal point for input into the programme from non-governmental organizations and academic and professional institutions active in the field. Its recent activities are described in some detail in th e report of the Secretary-General on the activities of the institutes comprising the programme networ k (E/CN.15/1996/21).

50. The activities of the International Scientific and Professional Advisory Council are financed by a grant from the Government of Italy through the United Nations Crime Prevention and Criminal Justice Fund, which i s administered by the Secretary-General.

II. ELEMENTS OF STRATEGIC MANAGEMENT

A. Interaction between the Commission on Crime Prevention and Criminal Justice and the Secretariat

1. Interaction during sessions of the Commission

51. The formal interaction between the Commission and the Secretariat occurs at the annual sessions of th e Commission, which last eight working days and cover an ever-expanding agenda. The work is carried out in th e plenary, the Committee of the Whole and several w orking groups. In accordance with Economic and Social Council decision 1994/281, no more than two meetings are held simultaneously at any given time during a session . Nonetheless, participants often have difficulty following all issues of interest to them.

52. Despite the fact that the Commission has limited the number of priority areas dealt with at each session, there is a widespread feeling that there is not sufficient time to deal adequately with all items on the agenda. The various reports prepared by the Secretariat in response to specific mandates must be considered and substantive and/o r

procedural action taken. The number of reports has increased from 10 at the first session of the Commission, 8 at the second, 14 at the third and 14 at the fourth to 30 at the fifth.

53. Draft resolutions containing new mandates or reaffirming existing ones are negotiated and recommended for adoption by the Economic and Social Council or the General Assembly. Their number also appears to be increasing from year to year. In addition, priority areas require substantive discussion, which can be time-consuming. Finally, the efficacy of the programme has to be evaluated, its future requirements have to be determined and guidance has to be given to the Secretariat on the direction to be pursued.

54. This formidable array of tasks must be handled by a body whose composition thus far has not provided for much continuity of representation and that, consequently, must each year strive for some cohesion and adopt its own working style while working through its agenda.

55. The work of the Commission is further complicated by the volume of documentation before it and by the fact that documents are frequently not available sufficiently in advance of its session to allow for careful preparation. Most delays in the completion of documents to be considered at a given session of the Commission result from the following:

(a) The fact that many mandated reports incorporate input from Member States that is often late in reaching the Secretariat;

(b) The fact that limited staff resources in the Division lead to constant competition for staff time allocated to the fulfilment of reporting requirements and the implementation of other mandates;

(c) The fact that the heavy workload and limited staff resources of conference services at the United Nations Office at Vienna and the priority given to other bodies that meet earlier in the year, such as the Commission on Narcotic Drugs, sometimes result in delays in the processing (e.g. translation) of documents to be submitted to the Commission on Crime Prevention and Criminal Justice.

56. The Division is currently participating in a Secretariat-wide efficiency review. In keeping with the directions of the General Assembly to operate within budgetary constraints while protecting programme activities from negative impact, the review seeks to identify ways to improve performance and reduce costs.

57. The heavy reporting requirements involved in servicing the Commission on Crime Prevention and Criminal Justice compete with the implementation of other mandates and operational activities. Thus, one of the issues identified for careful analysis is the need to achieve a better balance between parliamentary services and the implementation of other mandates, including support to operational activities. The Secretary-General will present the outcome of the review and his subsequent proposals to the General Assembly in July 1996.

2. Interaction between sessions of the Commission

58. Given the short duration of the sessions of the Commission, its crowded agenda and the lack of continuity among participants in its session, it is important for the Division to find ways in which to communicate with the Commission and interested delegations during the inter-sessional period about preparations for the next session, important developments and difficulties encountered. To that end, the Division has held several informal meetings with the bureau of the Commission and has conducted six briefings for permanent missions to the United Nations (Vienna) in the last few months. The initiatives were well received and similar meetings are planned for the future.

B. Management tools

59. In paragraph 5 above, the functions of the Commission are outlined. There are several ways in which the Commission may exercise those functions.

1. Proposals from Member States

60. The Economic and Social Council, in its resolution 1993/34, section I, invited Member States to prepare and circulate in advance of each session proposals on specific objectives and activities of the programme, as recommended by the Commission in its resolution 1/1. Follow-up action by the Secretariat yielded responses from two Member States in 1993, as reflected in a note by the Secretary-General (E/CN.15/1994/5) prepared for the Commission at its third session. At its fourth session, the Commission did not take any action on the matter.

2. Resolutions

61. Through draft resolutions to be considered by the Economic and Social Council or the General Assembly, the Commission: regularly makes recommendations that determine the overall direction, goals and priorities of the programme; formulates requests to Member States, as well as other participants in the programme; guides the Secretariat in its work; indicates the activities to be undertaken by the Secretariat within specified time-frames; and expresses its views on the work and resource requirements of the Secretariat.

3. Reports by the Secretariat to the Commission and other legislative bodies

62. The Secretariat regularly prepares extensive reports to the Commission on the status of implementation of existing mandates. These reports are guided by the principles of Commission resolution 1/1 and subsequent mandates and frequently contain suggestions for action by the Commission. Thus, they channel both substantive and procedural information and other input into the decision-making process of the Commission. The 30 or more reports before the Commission at its fifth session are intended to provide an empirical base and policy options to facilitate its work.

63. The Secretariat also reports to the Economic and Social Council and the General Assembly on programme issues and activities and on matters pertaining to strategic management.

4. Medium-term plan

64. The medium-term plan is the principal policy and programme directive of the United Nations. It sets out the general orientation of the United Nations programmes for a period of six years, setting the objectives to be achieved and the strategies to be followed. It also serves as the framework for the formulation of the biennial programme budget.

65. The medium-term plan translates legislative mandates into actual programmes. Its objectives and strategies are derived from the policy orientations and goals set by the intergovernmental organs. It reflects the priorities of Member States as set out in legislation adopted by intergovernmental bodies within their spheres of competence and by the General Assembly, on the advice of the Committee for Programme and Coordination (CPC).

66. The Commission receives drafts of contributions by the Division to the medium-term plan for review and comment. In reviewing those drafts, the Commission ensures that the priorities it has set for the programme are appropriately reflected in the Organization's principal policy and programme directive. Its comments are forwarded to CPC and the Advisory Committee on Administrative and Budgetary Questions (ACABQ), which review the entire plan prior to its submission to the Economic and Social Council and the General Assembly.

67. The contribution to the medium-term plan for the period 1998-2001 (covering four years as part of a transition from five-year to six-year plans) for programme 8 (Crime prevention and criminal justice) will be made available to the Commission at its fifth session (E/CN.15/1996/CRP.3).

5. Biennial programme budget

68. The biennial programme budget of the United Nations is formulated on the basis of the medium-term plan to ensure that programme activities are in accordance with legislative intent. Its resource framework is established by the budget outline. The programme budget contains the detailed programme activities and services to be provided during a given biennium and estimates of the financial resources required at the programme level. The specifi c activities and services are presented under several categories, namely international cooperation, parliamentar y services, published material, information materials and services, operational activities, and coordination , harmonization and liaison.

69. The resource requirements are presented in aggr egate form under several objects of expenditure, namely posts, other staff costs, consultants and experts, travel, contractual services, general operating expenses and equipment. These aggregates are based on a detailed submission that relates staff time (work-months) and other resource s required to specific activities. The detailed submissions are reviewed and elaborated into budget proposals by the Programme Planning and Budget Division for submission to the relevant central reviewing bodies (CPC, ACABQ, General Assembly).

70. The Commission receives, for review of programmed activities and resource adequacy, the relevant part of the proposed programme budget for a given biennium in fascicle form, together with the comments of CPC, which makes recommendations to the Economic and Soc ial Council and the General Assembly and is particularly concerned with programme priorities, the translation of mandates into programme activities, possible duplication and overal l resource requirements. At its fourth session, the Commission had before it a note by the Secretary-General on the proposed programme of work in crime prevention and criminal justice for the biennium 1996-199 7 (E/CN.15/1995/10), which contained the activities under section 13 (Crime control) of the programme budget for that biennium.

71. Since the resource requirements reflected in the programme budget in relation to the mandated activitie s specified therein are based on estimates of work-months and specific costing parameters, at the time of budge t adoption the activities planned and resources provided coincide, at least in theory.

72. Due to financial constraints, recent proposed budgets submitted by the Secretary-General have contained little or no growth. Thus, proposals for new or redefined activities considered during the biennium can only be added to the work programme of that biennium if already programmed activities are redefined or deferred or if eithe r additional budgetary or extrabudgetary resources are made available.

6. Programme performance reports

73. The programme performance report provides *ex post facto* quantitative information on the degree of implementation of the activities and service s identified in a given programme budget. The report does not deal with any qualitative aspects of implementation, that is, the effectiveness, efficiency, relevance or impact of the activity or service concerned. It is prepared by the Office of Internal Oversight Ser vices and is based on four progress reports submitted at six-month intervals; it is reviewed by CPC, whose recommendations are considered and approved by the General Assembly.

74. In the performance analysis, a distinction is made between: (a) activities completed as programmed; (b) activities postponed to the following biennium, whether commenced or not; (c) activities completed whil e significantly reformulated; (d) acti vities terminated as obsolete, of marginal use or ineffective; (e) additional output required by a legislative decision subsequent to the approval of the programme budget; and (f) additional outpu t initiated by the programme manager. For activities not implemented as originally planned, programme managers provide information on the reasons for the deviation. The report of the Secretary-General on the programm e performance of the United Nations for the biennium 1992-1993 (A/49/135 and Add.1) was made available to the Commission at its third and fourth sessions.

III. STRATEGIC MANAGEMENT ISSUES

75. Since the establishment of the Commission, the joint efforts of its members and the Secretariat to design and implement a crime prevention and criminal justice programme that achieves specified objectives in line with th e established priorities have led to the identification of certain issues related to the strategic management of th e programme. They are programme aspects that could bear improvement and are discussed with a view to findin g solutions that are acceptable to all concerned and that benefit the programme.

A. Qualitative analysis of programme performance

76. It is evident from the discussion in paragraphs 59-74 above, on the available management tools, that there is currently no mechanism with which the Commission can obtain systematic information on the qualitative aspects of programme performance. The need for such information i s clear; the fact that it is lacking seems to have impeded the process of selecting optimum strategies for programme implementation.

77. Commission resolution 1/1 does not contain guidelines for programme evaluation. From the discussion in the Commission thus far, it would appe ar that the kind of qualitative analysis of programme performance envisaged by the Commission would allow it to assess programme impact. The need for such analysis raises questions about the mechanisms and measures to be employed.

1. Programme evaluation mechanisms

78. The Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, th e Monitoring of Implementation and the Methods of Evaluation (ST/SGB/PPBME Rules/1(1987)) provide for a n evaluation system that includes periodic self-evaluation of activities directed at time-limited objectives an d continuing functions and ad hoc in-depth evaluation of selected programme areas or topics. The latter is conducted at the request of intergovernmental bodies. For in-depth evaluations the results of self-evaluations are taken into account.

79. To date, the United Nations crime prevent ion and criminal justice programme has not been evaluated in depth. According to the self-evaluation plan contained in the report of the Secretary-General on programme evaluation in the United Nations: assessment of evaluation activities and proposals for strengthening the role of evaluatio n (A/47/116, annex), the programme is scheduled for self-evaluation during the biennium 1996-1997. In due time, the Division expects to receive guidelines from the Office of Internal Oversight Services for such an evaluation.

2. Informal reviews and self-evaluation

80. While there is an undeniable lack of system atic in-depth programme evaluation in the area of crime prevention and criminal justice, certain indicators of programme effectiveness or impact do exist. These include:

(a) The use by Member States and others of the instr uments developed, such as model treaties for inter-State cooperation and standards and norms in several areas;

(b) Public statements by representatives of Member States, intergovernmental organizations, non - governmental organizations or institutes about the programme in general or about specific activities;

(c) Requests for technical assistance that have been received and those that have been met;

(d) Requests for documents and information produced within the framework of the programme;

(e) Citations of published materials in professional literature;

(f) Resolutions dealing with programme aspects;

(g) Appraisals of initiatives taken, such as responses to post-seminar questionnaires, and their multiplie r effect;

(h) Increased public awareness of certain crime prevention and criminal justice issues.

81. While such indicators provide broad information rather than detailed data, they give some insight into th e relevance and usefulness of programme activities, if not a precise measure of their impact.

3. Possible indicators of programme impact

82. Devising meaningful and feasible indicators of programme impact requires careful consideration of the purpose to be achieved and the tools to be employed. The complexity of the field and its multiple interfaces with other s makes it difficult to deduce a direct cause-and-effect relationship. Even factor analysis cannot readily isolate key elements and indicators of impact and success.

83. If the purpose of the impact analysis is to demonstrate with hard data the number of crimes prevented or the relative success in national criminal justice administration as a result of the activities of the crime prevention and criminal justice programme, the task of identifying possible indicators poses many conceptual and methodological problems. It requires clarification of complex questio ns such as what determines the level of crime in a society, how can prevented crimes be measured, how can criminal justice be measured and how can a distinction be made between the impact of programme activities and that of national crime control policies or other social and economic policies. Finding the answers to these and many related questions might keep legions of researchers busy for a long time , assuming that they could be answered at all.

84. If the purpose of the impact analysis is to determine the extent to which Member States benefit from specific activities or the overall programme in their efforts to prevent crime and to carry out consistent and humane criminal justice, with sufficient resources, suitable means can be found to do so. Output indicators such as criteria fo r measuring success or failure or impact could be determined in advance as part of project or activity design. Clients could be surveyed *ex post facto* regarding their level of satisfaction with certain activities. Process indicators, such as the number of clients, training courses or handbooks, could be defined for areas where quantity of outputs o r services provided could be considered indicators of relative success or impact.

B. Information linking mandated activities and resource requirements

85. The discussions surrounding the adoption of Commission resolution 4/3 indicated clearly the belief of th e Commission that the provision of information on proposed activities would assist it in implementing its resolution 1/1.

86. Rule 28 of the rules of procedure of the functional com missions of the Economic and Social Council states that "before a proposal involving the expenditure of Unite d Nations funds is approved by the commission, the Secretary-General shall prepare and provide to the commission an estimate of the programme budget implications o f implementing the proposal" (E/5975/Rev.1). There was some controversy during the fourth session of th e Commission over the timing of the provision of such informatio n. The Commission had indicated its wish to receive it prior to making a decision on the proposal. In accordance with established procedure, the unit of the Secretariat responsible for such matters provides esti mates of programme budget implications on the basis of draft resolutions. The procedure has been adopted so as to be responsive to the need of Member States for information while taking into account the scarce resources available in the Secretariat for providing such information.

C. Balance between parliamentary services and other mandates

87. The Division is increasingly becoming aware of its inability, within existing resources, to simultaneousl y provide parliamentary services to the Commission and to implement other mandates, including the provision o f support to operational activities. Two factors in particular have brought this issue into focus during the past 1 2 months: the unprecedented level of reporting required for the Commission at its fifth session and the maturation of the efforts of the two interregional advisers. The ever-increasing reporting requirements of the Commission absorb the majority of staff resources of the Division. At the same time, requests for technical assistance are mounting as a result of the activities of the two interregional advisers and the involvement of staff of the Division in trainin g courses and seminars.

88. The Division has tried to balance these demands by drawing on the assistance of junior experts provided by several Governments. Staff also work overtime without compensation. However , these efforts are far from sufficient to solve a problem that can be adequately dealt with only through a dditional resources. As described in greater detail in the report of the Secretary-General on technical advisory services for the United Nations crime prevention and criminal justice programme (E/CN.15/1996/8), such re sources could be used for technical cooperation activities and advisory services geared towards building and supporting democratic institutions and effective criminal justic e systems with emphasis on the complementary relationship o f justice, peace and development and the need to address them simultaneously. As mentioned in paragraph 39 above, these activities, as well as others, are carried out i n cooperation with other relevant entities of the United Nations system, in particular, at the local level, the respective United Nations resident coordinators. Highest priority will be given to developing countries and countries wit h economies in transition to assist them in their efforts to translate United Nations policy guidelines into practice. It is hoped that the Commission will assist the programme by establishing an adequate resource base for thes e purposes, as envisaged in the statement of principles and programme of act ion (General Assembly resolution 46/152, annex, para. 26 (d)).

IV. TENTATIVE PROPOSALS FOR ENHANCED STRATEGIC MANAGEMENT PROCEDURES AND ACTION REQUIRED OF THE COMMISSION

89. Strategic management involves a number of core functions: the definition of the programme objectives in line with its perceived mission and, if possible, of specific targets in a given time-frame; the setting of priorities; a n indication of the activities to be carried out in phases; monitoring of their implementation; and evaluation of th e results, with a view to replicating successes and correcting possible inadequ acies. Bearing in mind the financial crisis facing the United Nations, with its resource constraints, a further aim is to maximize the means available, wher e possible by integrating (rather than merely coordinating) efforts and to focu s on key intervention points that are likely to have a multiplier effect. While the United Nations programme planning, budgeting and evaluation procedures provide detailed guidelines in this respect, they can usefully be supplemented by the insights and guidance of the Commission.

90. Taking into account the parameters and current practice of strategic management and the issues identified in sections I-III above, the tentative proposals below are offered for consideration and possible endorsement by th e Commission. They are intended to facilitate the work of the Commission, including the full exercise of its function of strategic management of the United Nations crime prevention and criminal justice programme.

91. The Commission may wish to consider requesting the Secretariat:

(a) To continue its efforts to ease the process by which the Commission obtains whatever information i t deems necessary on proposed activities and to make available assistance for the timely preparation of draf t resolutions so that statements on programme bu dget implications can be provided by the Secretariat unit concerned;

(b) To endeavour to improve further the inter-sessional communication with the bureau of the Commission, members of the Commission and other interested delegations through briefing sessions and informal meetings, so as to keep them informed about major events affecting the United Nations crime prevention and criminal justic e

programme, the status of preparations for the next session of the Commission and any problems that may occur, and to seek their continuous involvement in the follow-up on conclusions and recommendations of the Commission;

(c) To identify clearly in reports of the Secretary-General to the Commission any action required of the Commission to facilitate the decision-making process;

(d) To endeavour to provide detailed lists of proposed activities required to implement existing mandates so as to assist the Commission in dealing with questions concerning the setting of priorities and the allocation of resources in the context of the biennial budgets;

(e) To elaborate for consideration by the Commission possible means of evaluating programme success or impact;

(f) To make increased efforts to avoid duplicating activities of entities whose work has implications for the United Nations crime prevention and criminal justice programme;

(g) To strengthen coordination and cooperation with entities involved in the United Nations crime prevention and criminal justice programme.

92. The Commission may wish to consider:

(a) Making efforts to ensure greater continuity in the representation of its members at its annual sessions, and to arrange for briefings when they are changed;

(b) Considering ways in which it could provide to the United Nations crime prevention and criminal justice programme leadership between sessions, for example, by establishing an enlarged bureau or a steering committee that would include officers of previous bureaux and representatives of the regional groups;

(c) Mobilizing support for the United Nations crime prevention and criminal justice programme through closer coordination with other relevant intergovernmental bodies, such as CPC, the Economic and Social Council and the General Assembly;

(d) Mobilizing extrabudgetary resources for the implementation of requests for technical cooperation and advisory services;

(e) Exercising restraint in recommending new mandates in order to enable the implementation of existing ones to be completed;

(f) Reviewing annual reporting requirements in the light of the limited resources available to the Secretariat so as to permit more in-depth consideration of individual items and to achieve an appropriate balance between the provision of parliamentary services and the implementation of other mandates of the programme, including support for operational activities, for example, by considering different items at different sessions of the Commission;

(g) Providing more practical guidance for the implementation of mandates;

(h) Cooperating with the Division in determining means of evaluating the success or impact of the United Nations crime prevention and criminal justice programme;

(i) Exploring the feasibility of its bureau holding inter-sessional meetings with the bureau of the Commission on Narcotic Drugs;

(j) Coordinating its mandates and strategic management with the efforts of the intergovernmental bodie s dealing with human rights and international law so as to harmonize activities for maximum impact;

(k) Considering ways in which the network of government-appointed national correspondents could mor e effectively promote the United Nations crime prevention and criminal justice programme.